PROTOCOL QUESTIONS

ICAO ESAF Regional Office

Nairobi Kenya

PROTOCOL QUESTIONS

➢ Protocol Questions (PQs) are the primary tool used in the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) for assessing the effective implementation of the eight critical elements (CEs) of a State safety oversight system.

➢ Developed based on ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and ICAO guidance material, the PQs are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents.

PROTOCOL QUESTIONS

➢ The AGA PQs are used to assess the aerodrome certification and surveillance system of States. They are based on the SARPs of Annex 14 to the Chicago Convention as well as relevant ICAO guidance material.

➢ The aerodrome certification and surveillance system in place should cover not only international aerodromes, but also aerodromes open to public use. With respect to guidance material, their availability to both the regulatory personnel and the aerodrome operators should be ensured through an established mechanism.

PROTOCOL QUESTIONS

➢ The PQs are organized by audit areas and each PQ is associated with one of the eight CEs.

➢ States are expected to use the PQs to conduct regular self-assessments and in this way, monitor the health of their aviation safety oversight system in a proactive manner

➢ A State is deemed to have *fully addressed* a PQ when it has implemented all the required elements of the PQ and has provided ICAO with the relevant evidence. This generates a *"satisfactory"* status of implementation for the PQ. If the State provides insufficient or no evidence of compliance with the elements outlined in the PQ, the PQ is assessed as *"not satisfactory"*.

PROTOCOL QUESTIONS

PQ — Example

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
4.129	Has the State promulgated regulations for AOC applicants to establish procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures.	STD A6 Part I, 11.1 Part III, Section II, 9.1 GM A6 Part I, Att. E, 3.4 z) & 6 Part III, Att. E, 3.4 r) & 6	CE-2
4.103	Is the organizational structure of an AOC applicant reviewed to ensure that: a) duties, responsibilities and authorities are clearly defined, and b) functional tasks and lines of reporting are clearly delineated and duly documented?	... operations ......aterial, manuals, ...ed and ...implemented. 2) Review exchange of letters with the applicant. 3) Verify that the safety management, quality assurance management and emergency management systems have been: a) established; b) documented; and c) implemented.	STD A6 Part I, 4.2.1.3 Part III, Section II, 2.2.1.3 GM Doc 8335 Part II, C2 Part III, C5	CE-6

PQ asked by auditor

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
4.129	Has the State promulgated regulations for AOC applicants to establish procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures.	STD A6 Part I, 11.1 Part III, Section II, 9.1 GM A6 Part I, Att. E, 3.4 z) & 6 Part III, Att. E, 3.4 r) & 6	CE-2
4.103	Is the organizational structure of an AOC applicant reviewed to ensure that: a) duties, responsibilities and authorities are clearly defined, and b) functional tasks and lines of reporting are clearly delineated and duly documented?	1) Verify that applicable operations inspect[...] guidance material, manuals, etc. have been[...] and implemented. 2) Review exchange of letters with the app[...] 3) Verify that the safety management, quality assurance management and emergency management systems have been: a) established; b) documented; and c) implemented.	[...]2.1.3 GM Doc 8335 Part II, C2 Part III, C5	CE-6

Examples of evidence to be presented by State

PQ — Example

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
4.129	Has the State promulgated regulations for AOC applicants to establish procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures.	STD A6 Part I, 11.1 Part III, Section II, 9.1 ... 6 Part III, Att. E, 3.4 r) & 6	CE-2
4.103	Is the organizational structure of an AOC applicant reviewed to ensure that: a) duties, responsibilities and authorities are clearly defined, and b) functional tasks and lines of reporting are clearly delineated and duly documented?	1) Verify that applicable operations inspectors' guidance material, manuals, etc. have been developed and implemented. 2) Review exchange of letters with the applicant. 3) Verify that the safety management, quality assurance management and emergency management systems have been: a) established; b) documented; and c) implemented.	STD A6 Part I, 4.2.1.3 Part III, Section II, 2.2.1.3 GM Doc 8335 Part II, C2 Part III, C5	CE-6

CE number associated with PQ

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
4.129	Has the State promulgated regulations for AOC applicants to establish procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures.	STD A6 Part I, 11.1 Part III, Section II, 9.1 GM A6 Part I, Att. E, 3.4 z) & 6 Part III, Att. E, 3.4 r) & 6	CE-2
4.103	Is the organizational structure of an AOC applicant reviewed to ensure that: a) duties, responsibilities and authorities are clearly defined, and b) functional tasks and lines of reporting are clearly delineated and duly documented?	1) Verify that applicable operations inspectors' guidance material, manuals, etc. have been developed and implemented. 2) Review exchange of letters with the applicant. 3) Verify that the safety management, quality assurance management and emergency management systems have been: a) established; b) documented; and c) implemented.	STD A6 Part I, 4.2.1.3 Part III, Section II, 2 GM Doc 8335 Part II, C2 Part III, C5	CE-6

ICAO Reference

Group of Experts for a USOAP CMA Structured Review (GEUSR)

- The 39th Session of the ICAO Assembly recognized that the USOAP CMA had brought significant benefits to ICAO and States and recommended that ICAO should undertake a review of the USOAP CMA methodology, processes and tools to provide Member States with an opportunity to provide user feedback and enable ICAO to plan improvements to the programme.

- Following this outcome, ICAO established, in early 2017, the Group of Experts for a USOAP CMA Structured Review (GEUSR).

Priority Protocol Questions (PPQs)

➢ Priority Protocol Questions (PPQ) are a subset of protocol questions (PQ) that, if found not satisfactory, may indicate a lack of capability by a State to identify and/or resolve operational safety and fundamental accident investigation deficiencies effectively.

➢ PPQ findings can demonstrate a State's inability to conduct safety oversight, which can result in the elevated risk of significant safety concerns, or an inability to conduct a proper accident investigation.

Use of PPQs

- PPQs will assist States by providing them with an overview of those PQs with greater direct relationships to risks that are necessary to be addressed for the establishment and implementation of their safety oversight systems.

- PPQs are **not** a replacement for the entire cadre of protocol questions, which continues to be essential in a comprehensive assessment of the effectiveness of a State's safety oversight system.

- **Not-satisfactory PPQs should be an alert to TM of potential SSC.**

2020 edition vs 2017 edition of PQs

| | 2017 PQs | | | | | | 2020 PQs | | | |
| | Total No. (2017) | Number of | | | | | Total No. (A+B+C+D) | Number of | | |
		Deleted	Revised (A)	Merged (B)	No Change (C)	New (D)		PPQ	On-Site	Off-Site
LEG	23	0	23	0	0	0	23	14	3	20
ORG	14	2	11	1	0	1	13	5	9	4
PEL	99	10	48	7	34	4	93	35	71	22
OPS	146	21	85	12	28	1	126	34	91	35
AIR	210	26	79	5	100	2	186	33	102	84
AIG	104	21	21	19	43	1	84	24	46	38
ANS	179	69	71	27	12	12	122	27	97	25
AGA	168	29	43	17	79	4	143	40	106	37
	943	178	381	88	296	25	790	212	525	265

Migration to 2020 edition of PQs

- <u>No Change</u>: State continue to update its CAP (if PQ is N/S) and self-assessment
- <u>Deleted</u>: no more action from State is required
- <u>Revised</u>: if N/S, finding will remain the same; but State needs to update its self-assessment
- <u>Merged</u>: status precedence will be N/S – U – S – N/A
  - Progresses Documented merge; if multiple validations happened, the latest progress prevail.
- <u>New</u>: State needs to submit its self-assessment

PPQs by audit area

Audit area	2017 PQs	2020 PQs			
	Total No.	Total No.	Number of		
			PPQ	On-Site	Off-Site
LEG	23	23	14	3	20
ORG	14	13	5	9	4
PEL	99	93	35	71	22
OPS	146	126	34	91	35
AIR	210	186	33	102	84
AIG	104	84	24	46	38
ANS	179	122	27	97	25
AGA	168	143	40	106	37
	943	790	212	525	265

PPQs by CE

2020 PQs		CE-1		CE-2		CE-3		CE-4		CE-5		CE-6		CE-7		CE-8	
		TOTAL	PPQ	TOTAL	PPQ	TOTAL	PPQ	TOTAL	PPQ	TOTAL	PPQ	TOTAL	PPQ	TOTAL	PPQ	TOTAL	PPQ
LEG	23	14	14	9	6	5	0	0	0	0	3	0	0	0	0	0	0	0
ORG	13	5	0	0	0	0	9	4	2	1	2	0	0	0	0	0	0	0
PEL	93	35	0	0	13	6	6	1	7	0	10	2	40	22	10	4	7	0
OPS	126	34	3	0	11	4	10	1	5	2	20	1	56	22	14	4	7	0
AIR	186	33	0	0	41	5	14	1	12	3	37	10	59	11	10	2	13	1
AIG	84	24	8	4	11	5	10	2	4	1	42	7	0	0	0	0	9	5
ANS	122	27	3	0	6	2	16	0	14	0	2	0	27	7	47	18	7	0
AGA	143	40	2	1	21	6	7	2	7	2	14	1	51	17	32	9	9	2
	790	212	30	14	109	33	72	11	51	9	130	21	233	79	113	37	52	8

Deleted PQs (12)

- 8.009, 8.013, 8.017, 8.019, 8.071, 8.073, 8.089, 8.097, 8.135, 8.205, 8.237, 8.326

Deleted and Merged PQs (17)

- 8.067, 8.081, 8.084, 8.107, 8.121, 8.123, 8.165, 8.185, 8.203, 8.216, 8.217, 8.261, 8.285, 8.289, 8.327, 8.373, 8.391

New PQs

- **8.142**:

  Has the State promulgated regulations relating to monitoring and reporting of information on the condition of the movement area and related facilities?

New PQs

- **8.144**:

  Does the State ensure that personnel assessing and reporting runway surface conditions are trained and competent to perform their duties?

New PQs

- **8.204**:

  Does the State ensure that aerodrome operators comply with requirements related to runway safety, including the establishment of a runway safety team?

ICAO

North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montréal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok

THANK YOU